

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
ATTY. DOCKET NO. 50422-5

In re Patent Application of Steve Hill

Serial No. 10/761,338 (Unofficial)

Group Art Unit: 2874

Filed: January 22, 2004

Examiner:

For: BROADBAND OPTICAL PUMP SOURCE FOR OPTICAL AMPLIFIERS, PLANAR OPTICAL AMPLIFIERS, PLANAR OPTICAL CIRCUITS AND PLANAR OPTICAL LASERS  
FABRICATED USING GROUP IV SEMICONDUCTOR NANOCRYSTALS

**INFORMATION DISCLOSURE STATEMENT**

This Information Disclosure Statement is being filed in the manner prescribed by 37 CFR 1.97(b) - (d) to satisfy the duty under 37 CFR 1.56 to disclose to the Office information, known to individuals associated with the filing and prosecution of the subject application, which is material to the examination of the application.

In accordance with 37 CFR 1.97(g) and (h), this statement is not to be construed as a representation that a search has been made or an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 CFR 1.56(b).

This information disclosure statement is being filed within three months of the filing date of a national application, within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first official action on the merits and therefore applicant respectfully requests consideration under 37 CFR 1.97(b).

In compliance with 37 CFR 1.98(a)(1), a list of all patents, publications or other information submitted for consideration by the Office is hereby provided by way of the attached Form PTO 1449.

In compliance with 37 CFR 1.98(a)(2), also enclosed is a legible copy of:

- i) each United States and foreign patent;
- ii) each publication or that portion which caused it to be listed; and
- iii) all other information or that portion which caused it to be listed, excluding any copies of a United States patent application.

It is respectfully requested that the information be expressly considered by the Examiner and that the references be made of record and appear among the "References Cited" on any patent to issue therefrom.

The Patent Office is hereby authorized to charge any deficiency, or credit any overpayment in fees to Deposit Account Number 19-2550.

Respectfully submitted,

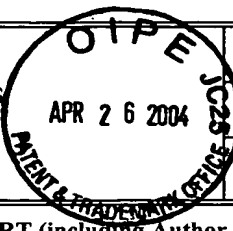
STEVE HILL

Ralph A. Dowell  
Reg. No. 26,868

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Dated: April 21, 2004

Encls.: Form PTO-1449  
All references listed on Form PTO-1449  
Acknowledgement Card

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| Form PTO-1449 (Modified)   | Atty. Docket No. 50422-5     | Serial No. 10/761,338 |
| LIST OF PATENTS AND PUBLICATIONS<br>FOR APPLICANT'S INFORMATION<br>DISCLOSURE STATEMENT<br>(Use several sheets if necessary) | Applicant Steve Hill         |                       |
|  | Filing Date January 22, 2004 | Group 2874            |




OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

|    |  |
|----|--|
| AP | Georgia Franzò, et al.; Er <sup>3+</sup> IONS-Si NANOCRYSTALS INTERACTIONS AND THEIR EFFECTS ON THE LUMINESCENCE PROPERTIES; Applied Physics Letters, Vol. 76, No. 16, 17 April 2000, pp. 2167-2169.   |
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| EXAMINER | DATE CONSIDERED |
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EXAMINER:

Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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|--|--|--------------------------|-----------------------|----------------------|--|------------------------------|------------|
| <b>Form PTO-1449 (Modified)</b><br><br><b>LIST OF PATENTS AND PUBLICATIONS<br/>FOR APPLICANT'S INFORMATION<br/>DISCLOSURE STATEMENT</b><br>(Use several sheets if necessary) | <div style="text-align: center;">  </div> <table style="width: 100%;"> <tr> <td style="width: 50%;">Atty. Docket No. 50422-5</td> <td style="width: 50%;">Serial No. 10/761,338</td> </tr> <tr> <td colspan="2">Applicant Steve Hill</td> </tr> <tr> <td>Filing Date January 22, 2004</td> <td>Group 2874</td> </tr> </table> | Atty. Docket No. 50422-5 | Serial No. 10/761,338 | Applicant Steve Hill |  | Filing Date January 22, 2004 | Group 2874 |
| Atty. Docket No. 50422-5   | Serial No. 10/761,338  |                          |                       |                      |  |                              |            |
| Applicant Steve Hill   |  |                          |                       |                      |  |                              |            |
| Filing Date January 22, 2004   | Group 2874   |                          |                       |                      |  |                              |            |

**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

| EXAM. INIT. | DOCUMENT NUMBER  | DATE          | NAME             | CLASS | SUB CLASS | FIL. DATE IF APPROPRIATE |
|-------------|------------------|---------------|------------------|-------|-----------|--------------------------|
|             | AA 5 4 3 4 8 7 8 | Jul 18, 1995  | Lawandy          | 372   | 43        |                          |
|             | AB 6 2 9 4 4 0 1 | Sept 25, 2001 | Jacobson et al.  | 438   | 99        |                          |
|             | AC 0 0 1 7 6 5 7 | Feb 14, 2002  | Coffa et al.     | 257   | 200       |                          |
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|             |                  |               |                  |       |           |                          |

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| DOCUMENT NUMBER  | DATE       | COUNTRY | CLASS | SUB CLASS | TRANSLATION |    |
|------------------|------------|---------|-------|-----------|-------------|----|
|                  |            |         |       |           | YES         | NO |
| AG 2 0 6 1 8 1 5 | 28.01.2002 | WO      | H01L  | 21/20     |             |    |
|                  |            |         |       |           |             |    |

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